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Part IX

Department of Education

Notice Inviting Applications for New Awards for Fiscal Year 1988 Under the Graduate Assistance in Areas of National Need Program

DEPARTMENT OF EDUCATION

[CFDA No. 84.200]

Notice Inviting Applications for New Awards for Fiscal Year 1988 Under the Graduate Assistance in Areas of National Need Program

Purpose of Program: The purpose of the Graduate Assistance in Areas of National Need Program is to provide, through academic departments and programs of institutions of higher education, a fellowship program to assist graduate students of superior ability who demonstrate financial need, in order to sustain and enhance the capacity for teaching and research in areas of national need.

Deadline for Transmittal of Applications: August 10, 1988.

Available Funds: $7,659,000.

Estimated Range of Awards: $100,000–$500,000.

Estimated Average Size of Awards: $250,000.

Estimated Number of Awards: 30.

Project Period: 36 months.

Application: Since this is the first year of this program, the estimates stated above are projections for the guidance of potential applicants. The Department is not bound by these estimates. This notice is a complete application package containing all the necessary information, application forms, and instructions needed to apply for a grant under this program. No other application package is necessary. Applicants are directed to the appendix of this notice for applications and instructions.

Applicable Authority: The Education Department General Administrative Regulations (EDGAR) in 34 CFR Part 74 (Administration of Grants), Part 75 (Direct Grant Programs), Part 77 (Definitions that Apply to Department Regulations) and Part 78 (Education Appeal Board). The Graduate Assistance in Areas of National Need Program is authorized under Part D of Title IX of the Higher Education Act of 1965, as amended by Pub. L. 99–498, the Higher Education Amendments of 1986 (20 U.S.C. 1134l–1134q).

Eligibility: (a)(1) Any academic department, program or unit (hereafter referred to as "academic department") of an institution of higher education, as defined in section 1201(a) of the Higher Education Act of 1965, as amended, that offers a program of post-baccalaureate study leading to a graduate degree in an area of national need as established in the *PRIORITIES* section of this notice and that has been in existence for at least four years at the time of application is eligible to apply for a grant.

(2) An academic department, as described in paragraph (a)(1) of this section, may submit a joint application with one or more nondegree granting institutions which have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. For the purposes of this program, a nondegree granting institution is any organization which—

(i) Is described in section 501(c)(3) of the Internal Revenue Code of 1954, and is exempt from tax under section 501(a) of the Code;

(ii) Is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

(iii) Is not a private foundation;

(iv) Has academic personnel for instruction and counseling who meet the standards of the institution of higher education; and

(v) Has necessary research resources not otherwise readily available in the institution of higher education.

(b) An individual is eligible to receive an award from an academic department participating in this program if the individual—

(1) Has financial need, as determined under criteria developed by the institution of higher education;

(2) Has an excellent academic record in the individual's previous program or programs of study;

(3) Plans a teaching or research career;

(4) Plans to pursue the highest possible degree available in the individual's course of study; and

(5)(i) Is a citizen or national of the United States;

(ii) Is a permanent resident of the United States;

(iii) Provides evidence from the Immigration and Naturalization Service that he or she is in the United States for other than temporary purposes with the intention of becoming a citizen or permanent resident; or

(iv) Is a permanent resident of the Republic of Palau or the Commonwealth of the Northern Mariana Islands.

(c) An institution must provide assurances that it will seek talented students from traditionally underrepresented backgrounds. The Secretary suggests that applicants consider "traditionally underrepresented backgrounds" to mean minorities and other groups, including women, who historically have been underrepresented in the specific area of graduate study for which a fellowship is awarded.

(d) The academic department of the institution of higher education is responsible for making accurate determination concerning the criteria in paragraph (b).

Funding requirements: (a) No grant to an academic department of an institution of higher education shall be less than $100,000 nor greater than $500,000 for any fiscal year.

(b) From at least 60 percent of the funds received under this program, an academic department of an institution of higher education shall, consistent with the limitations in this paragraph, make commitments to graduate students at any point of their graduate study to provide stipends for applicable expenses except for tuition and fees for the length of time necessary to complete the course of graduate study. Because original awards to an academic department of an institution of higher education may not be made for longer than three years, an academic department of an institution of higher education may not make a commitment to a graduate student for more than three calendar years of support. If an institution successfully competes for a new award in a subsequent competition, a student may receive additional support, but in no case shall a student receive more than five calendar years of support.

(c) The size of the stipend awarded to students each year shall be determined by the institution, except that no annual stipend award under this program may exceed $10,000, or the demonstrated level of need, determined on the basis of criteria developed by the institution, whichever is less.

(d) From the remainder of funds, the academic department of program may award fellowship recipients amounts to pay tuition, fees and other costs of education not included in student stipends. No grant funds may be used for the general operational overhead of the academic department.

Matching Requirements: An academic department must provide from non-Federal sources an amount at least equal to 25 percent of the grant. The matching funds must be used for the same purposes as the grant funds, as specified in paragraphs (a) through (d) of the Funding Requirements section of this notice.

Priorities: In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.105(c)(3), the Secretary has established absolute priorities for fiscal year 1988 for applications that propose to provide fellowships in the following areas of national need: 1—Chemistry, 2—Engineering, 3—Mathematics, and 4—Physics. Only applications proposing to provide fellowships in one or more of

these areas of national need will be considered under this competition.

Selection Criteria: (a)(1) The Secretary uses the following selection criteria to evaluate applications for new grants under the Graduate Assistance in Areas of National Need Program.

(2) The maximum score for all of these criteria is 100 points.

(3) The maximum score for each criterion is indicated in parentheses with the criterion.

(b) *The criteria.*—(1) *Meeting the purposes of the authorizing statute.* (30 points) The Secretary reviews each application to determine how well the project will meet the purpose of the statute that authorizes the program, as stated in the Purpose of Program section of this notice, including consideration of—

(i) The objectives of the project; and

(ii) How the objectives of the project further the purpose of the authorizing statute.

(Note: A statement of the purpose of the authorizing statute is found in the Purpose of Program section of this notice.)

(2) *Extent of need for the project.* (30 points) The Secretary reviews each application to determine the extent to which the project meets specific needs recognized in the statute that authorizes the program, as stated in the Purpose of the Program section of this notice, including consideration of—

(i) The needs addressed by the project;

(ii) How the applicant identified those needs;

(iii) How those needs will be met by the project; and

(iv) The benefits to be gained by meeting those needs.

(3) *Plan of operation.* (20 points) The Secretary reviews each application to determine the quality of the plan of operation for the project, including—

(i) The quality of the design of the project;

(ii) The extent to which the plan of management is effective and ensures proper and efficient administration of the project;

(iii) How well the objectives of the project relate to the purpose of the program, as stated in the Purpose of Program section of this notice;

(iv) The quality of the applicant's plan to use its resources and personnel to achieve each objective; and

(v) How the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, gender, age, or handicapping condition.

(Note: The authorizing statute requires that grantees, in making fellowship awards, seek students from traditionally underrepresented backgrounds.)

(4) *Quality of key personnel.* (7 points)

(i) The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including—

(A) The qualifications of the project director (if one is to be used);

(B) The qualifications of each of the other key personnel to be used in the project;

(C) The time that each person referred to in paragraph (b)(4)(i) (A) and (B) of this section will commit to the project; and

(D) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected for employment without regard to race, color, national origin, gender, age, or handicapping condition.

(ii) To determine personnel qualifications under paragraphs (b)(4)(i) (A) and (B) of this section, the Secretary considers—

(A) Experience and training in fields related to the objectives of the project; and

(B) Any other qualifications that pertain to the quality of the project.

(5) *Budget and cost-effectiveness.* (5 points) The Secretary reviews each application to determine the extent to which—

(i) The budget is adequate to support the project; and

(ii) Costs are reasonable in relation to the objectives of the project.

(6) *Evaluation plan.* (5 points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation—

(i) Are appropriate to the project; and

(ii) To the extent possible, are objective and produce data that are quantifiable.

(7) *Adequacy of resources.* (3 points) The Secretary reviews each application to determine the adequacy of the resources that the applicant plans to devote to the project, including facilities, equipment, and supplies.

Selection Procedures; (a) Geographically balanced review panels of nationally recognized scholars will use the selection criteria to evaluate, score, and rank applications.

(b) Consistent with an allocation of awards based on quality of competing applications, an equitable geographic distribution among eligible public and private institutions of higher education will be promoted.

Instructions for Transmittal of Applications:

No grant may be awarded unless a complete form has been received.

(a) If an applicant wants a new grant, the applicant shall—

(1) Mail the original and two copies of the application on or before the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA #84.200) Washington, DC 20202.

(2) Hand deliver the original and two copies of the application by 4:30 p.m. (Washington DC time) on the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA #84.200) Room 3633, 7th & D Streets, SW., ROB-3, Washington, DC 20202.

(b) An applicant must show one of the following as proof of mailing:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary.

(c) If an application is mailed through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

Notes: (1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

(2) An applicant wishing to know that its application has been received by the Department must include with the application a stamped, self-addressed post card containing the CFDA number and title of this program.

(3) The applicant *must* indicate on the envelope and—if not provided by the Department—in Item 6a of this application form for Federal assistance (Standard Form 2424) the CFDA number—and letter, if any—of the competition under which the application is being submitted.

Assessment of Educational Impact: The Secretary requests comments on whether any information collection in this document would require transmission of information that is being gathered by or is available from any other agency or authority of the United States.

For Further Information Contact: For specific information concerning the program, contact: Dr. Allen P. Cissell, Division of Higher Education Incentive

Programs, Office of Postsecondary Education, Department of Education, Room 3022, ROB-3, Mail Stop 3327, 400 Maryland Avenue, SW., Washington, DC 20202. Telephone: (202) 732-4415.

Program Authority: 20 U.S.C., 1134l-q.

Dated: June 10, 1988.

William J. Bennett,

Secretary of Education.

Appendix—Application Instructions and Forms

This application is divided into three parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

Part I: Federal Assistance Face Sheet (Form SF-424 and instructions).

Part II: Budget Information (form and instructions).

Part III: Application Narrative.

Instructions for Part I—Federal Assistance Face Sheet (SF-424) The standard form is used by applicants as a required face sheet for preapplications and applications submitted in accordance with OMB Circular A-102. The applicant completes only items 1-23. Items 24-33 are completed by Federal agencies. Where possible, information has been preprinted for your convenience. Items which are not applicable have been marked "N/A."

Below is a list of instructions to assist you in completing the applicable items on the form.

ITEM

2a. Applicant's own control number, if desired.

2b. Date form is prepared (at applicant's option).

4a-h. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of the person who can provide further information about this request.

5. If the applicant's organization has been assigned an ED-CRS number consisting of the IRS employer identification number prefixed by "1" and suffixed by a two-digit number, enter the full entity number in block 5.

7. Provide the title and a summary description of the project.

8. "City" includes town, township or other municipality.

9. List only largest unit or units affected, such as State, county or city.

10. Indicate the estimated number of persons directly benefiting from the project.

12a. Amount requested or to be contributed during the first funding/budget period by the Federal Government.

12b-e. Enter the amount of matching funds.

12f. Enter the total of Items 12a-e.

13 & 15. Self-explanatory.

16. Indicate the estimated number of months to complete project after Federal funds are available.

18 & 21. Self-explanatory.

23. Name, title and signature of authorized representative of legal applicant.

BILLING CODE 4000-01-M

OMB Approval No. 0348-0006

FEDERAL ASSISTANCE

1 TYPE OF SUBMISSION (Mark appropriate box)
- ☐ NOTICE OF INTENT (OPTIONAL)
- ☐ PREAPPLICATION
- ☒ APPLICATION

2 APPLICANT'S APPLICATION IDENTIFIER — a. NUMBER — b. DATE (Year month day) 19 — Leave Blank

3 STATE APPLICATION IDENTIFIER (NOTE TO BE ASSIGNED BY STATE) — a. NUMBER — b. DATE ASSIGNED (Year month day) 19

4 LEGAL APPLICANT/RECIPIENT
- a. Applicant Name
- b. Organization Unit
- c. Street/P.O. Box
- d. City
- e. County
- f. State
- g. ZIP Code
- h. Contact Person (Name & Telephone No.)

5 EMPLOYER IDENTIFICATION NUMBER (EIN)

6 PROGRAM (From CFDA) — a. NUMBER 84 | 200 — MULTIPLE ☐ — b. TITLE Graduate Assistance in Areas of National Need

7 TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)

8 TYPE OF APPLICANT/RECIPIENT
A—State; B—Interstate; C—Substate Organization; D—County; E—City; F—School District; G—Special Purpose District; H—Community Action Agency; I—Higher Educational Institution; J—Indian Tribe; K—Other (Specify)
Enter appropriate letter ☐

9 AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)

10 ESTIMATED NUMBER OF PERSONS BENEFITING

11 TYPE OF ASSISTANCE
A—Basic Grant; B—Supplemental Grant; C—Loan; D—Insurance; E—Other
Enter appropriate letter(s) A

12 PROPOSED FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. Total	$	.00

13 CONGRESSIONAL DISTRICTS OF — a. APPLICANT — b. PROJECT

14 TYPE OF APPLICATION
A—New; B—Renewal; C—Revision; D—Continuation; E—Augmentation
Enter appropriate letter A

15 PROJECT START DATE (Year month day) 19

16 PROJECT DURATION Months

17 TYPE OF CHANGE (For 14c or 14e)
A—Increase Dollars; B—Decrease Dollars; C—Increase Duration; D—Decrease Duration; E—Cancellation; F—Other (Specify)
Enter appropriate letter(s)

18 DATE DUE TO FEDERAL AGENCY ► (Year month day) 19

19 FEDERAL AGENCY TO RECEIVE REQUEST U.S. Department of Education
- a. ORGANIZATIONAL UNIT (IF APPROPRIATE) Application Control Center
- b. ADMINISTRATIVE CONTACT (IF KNOWN) Charles I. Criffith, Director
- c. ADDRESS 400 Maryland Avenue, S.W. Washington, D.C. 20202

20 EXISTING FEDERAL GRANT IDENTIFICATION NUMBER NA

21 REMARKS ADDED ☐ Yes ☐ No

SECTION I—APPLICANT/RECIPIENT DATA

22 THE APPLICANT CERTIFIES THAT► To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.
- a. YES, THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE ◄EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____
- b. NO, PROGRAM IS NOT COVERED BY E.O. 12372 ☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW ☐

23 CERTIFYING REPRESENTATIVE — a. TYPED NAME AND TITLE — b. SIGNATURE

SECTION II—CERTIFICATION

24 APPLICATION RECEIVED (Year month day) 19

25 FEDERAL APPLICATION IDENTIFICATION NUMBER

26 FEDERAL GRANT IDENTIFICATION

27 ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE
- ☐ e. DEFERRED
- ☐ f. WITHDRAWN

28 FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	00

29 ACTION DATE► (Year month day) 19

30 STARTING DATE (Year month date) 19

31 CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)
Dr. Allen P. Cissell
(202) 732-4415

32 ENDING DATE (Year month date) 19

33 REMARKS ADDED ☐ Yes ☐ No

SECTION III—FEDERAL AGENCY ACTION

NSN 7540-01-008-8162
PREVIOUS EDITION IS NOT USABLE

424-103

STANDARD FORM 424 PAGE 1 (Rev. 4-84)
Prescribed by OMB Circular A-102

BEST COPY AVAILABLE

PART II

BUDGET INFORMATION

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED

FISCAL YEAR 1988

SECTION A - SUMMARY OF FELLOWSHIPS

AREA OF APPLICATION	NUMBER OF FELLOWSHIPS REQUESTED

SECTION B - FUNDS REQUESTED AND COST SHARING

1. Federal Funds Requested for Student Stipends	$
2. Federal Funds Requested for Tuition, Fees and Other Costs of Education Not Included in Student Stipends.	$
3. Total Federal Funds Requested	$
4. Non-Federal Funds	$
Total Program Funds	$

BILLING CODE 4000-01-C

Instructions for Part II—Budget Information

Heading Information: Enter the current fiscal year.

Section A—Summary of Fellowships

Enter the number of fellowships requested for area of application.

Section B—Funds Requested and Cost Sharing

1. Federal Funds Requested for Student Stipends: Enter the dollar amount of Federal funds requested for student stipends for applicable expenses except for tuition and fees. (At least 60% of the funds received under this program must be used to provide stipends.) See *"FUNDING REQUIREMENTS."*)

2. Federal Funds Requested for Tuition, Fees and Other Costs of Education Not Included in Student Stipends: Enter the dollar amount of Federal funds requested for tuition, fees and other costs of education not included in student stipends.

3. Total Federal Funds Requested: Enter the total Federal funds requested (sum of 1 and 2). Total Federal funds requested must not be less than $100,000 nor greater than $500,000 per year.

4. Non-Federal Funds: Enter the dollar amount of funds to be provided from other sources, e.g., state governments, local governments, private organizations, etc., which must equal at least 25 percent of the amount of Federal funds requested. Enter the total program funds (sum of 3 and 4).

Instructions for Part III—Application Narrative

Before preparing the Application Narrative, an applicant should read carefully the information regarding priorities, and the *SELECTION CRITERIA* the Secretary uses to evaluate applications.

The narrative should—

1. Begin with an Abstract; that is, a summary of the proposed project;

2. Describe the current academic program and the proposed project in light of each of the selection criteria in the order in which the criteria are listed in this notice;

3. Set forth policies and procedures to ensure that Federal funds made available under this program will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of the program and in no case to supplant those funds;

4. Set forth policies and procedures to assure that, in making fellowship awards under this part, the institution will make awards to individuals who—

(A) Have financial need, as determined under criteria developed by the institution;

(B) Have excellent academic records in their previous programs of study;

(C) Plan teaching or research careers;

(D) Plan to pursue the highest possible degree available in their course of study; and

(E) To the extent possible, are from traditionally underrepresented backgrounds. The Secretary suggests that applicants consider that "traditionally underrepresented backgrounds" mean minorities and other groups, including women, who historically have been underrepresented in the specific area of graduate study for which a fellowship is awarded; and

5. Include any other pertinent information that might assist the Secretary in reviewing the application.

Please limit the Application Narrative to no more than 25 doublespaced, typed pages (on one side only).

Assurances

The president of the institution, or his/her representative, must certify that the assurances listed below will be met if the applicant receives funds under this program. The signature of the applicant on Item 23 (b) of the cover page (Standard Form 424) certifies compliance with the assurances. (See the printed comment in Item 22 of the cover page.)

1. In the event that funds made available to he academic department under the program are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will endeavor, from any funds available to it to fulfill the commitment to the student.

2. The applicant will ensure that no student shall receive an award except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded, or if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress towards a degree.

3. The applicant will comply with the matching and funding requirements contained in the *FUNDING REQUIREMENTS* and *MATCHING REQUIREMENTS* sections of this application notice.

[FR Doc. 88-15225 Filed 7-5-88; 8:45 am]

BILLING CODE 4000-01-M